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ENHANCING CAPACITY FOR LOW EMISSION DEVELOPMENT STRATEGIES (EC-LEDS)

CLEAN ENERGY PROGRAM

Cooperative Agreement No. 114-A-13-00008

Report on EC-LEDS Partner Capacity Building FY 2014



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ENHANCING CAPACITY FOR LOW EMISSION DEVELOPMENT STRATEGIES/EC-LEDS CLEAN ENERGY PROGRAM

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Local partner capacity-building is a key element of the EC-LEDS program, and Winrock is committed to building partners' capacity to work directly with USAID. Training and capacity-building provided during year 1, including day-long trainings, half day capacity-building workshops and on-the-job capacity-building, contributed to their success.

Winrock delivered a one-day training for EC-LEDS Local Partners on Internal Controls Strengthening in the Program office on 26 December 2013. The goal of the training was to introduce EC-LEDS local partners to organizational internal controls, procurement and administrative procedures, accounting policies, and branding and marking procedures. Winrock conducted another one-day training on Leadership, People Management and Meeting Facilitation Skills on 3 April 2014. The training was specifically designed for Remissia and GBC-Georgia, in support of Outcome Indicator #6 (*Number of local organizations positioned to receive USG funding and implement USG projects as a result of EC-LEDS assistance*), as leadership, people management and meeting facilitation skills are core components of institutional strengthening. US-based Winrock Program Officer Jennifer Holthaus, an experienced trainer and meeting facilitator, traveled to Georgia to deliver the training.

Though Branding and Marking was covered in earlier training, Winrock conducted a short workshop focused only on branding and marking on 22 May 2014. This refresher workshop, focused only on USAID branding and marking and the specific requirements for the EC-LEDs program, was requested by the COP. The Compliance Manager and Outreach and Communications Manager jointly presented the Branding and Marking plan in detail, and led a discussion of when and how the branding guidelines apply.

As Winrock and partners developed their cost share plans for year 1 and these plans were being validated and cost share information collected for reporting, it became clear that the partners needed a clearer understanding of cost share under USAID programs. The Compliance Manager consolidated detailed information into short descriptions of cost share requirements and roles/responsibilities. She then mentored the partners in finalizing their year 1 cost share plans and documenting cost share. Winrock also provided ongoing capacity building to partners on matters of financial reporting, time reporting, organizational development and staffing, recruiting practices, writing reports and Monitoring & Evaluation.

Winrock had planned to conduct an organizational capacity assessment in the first quarter of Year 1, but this activity is now programmed for early in Year 2. Though Winrock has strong conviction that our two main local partners, Remissia and GBC Georgia, are essential for continuing the work in Components 1 and 2 after Year 3, we acknowledge that there may be other organizations that could also have a role to play in continuing activities to support municipal energy efficiency and support for energy efficient and green buildings. Therefore, for Year 2, we propose to identify a short list of organizations that could support ongoing work in Georgia related to Components 1 and 2, and to review and report on the expertise, capabilities, strengths and weaknesses of these organizations. We will consider and utilize, where relevant, USAID's organizational capacity assessment (OCA) methodology and tools.

2. TRAINING ON EC-LEDS LOCAL PARTNERS FOR INTERNAL CONTROLS STRENGTHENING

2.1 PARTICIPANTS

As part of risk management and capacity building, Winrock required that local partners participate in training and deliver several key documents prior to receiving full cost reimbursable agreements for work on the program. Under an initial small, fixed obligation grant, EC-LEDS provided training to all local partners on Internal Controls Strengthening. Participation was mandatory and representatives from the Sustainable Development and Policy Center, Remissia and the Green Building Council Georgia attended (a total of 8 participants, among them 2 males, 6 females).

A full list of participants is provided in Annex I.

2.2 PRESENTER

The training was conducted by the EC-LEDS Compliance Manager, Sophie Gengiuri.

2.3 CONTENT

The following topics were covered:

- *Detailed review of the list of deliverables outlined in Fixed Obligation Sub-grant document:* Participants discussed the content of listed deliverables to make sure that all meet requirements under the fixed obligated sub-grant.
- *Review of Operations Manual template:* The role of internal controls on every level, regardless of a company's size, was discussed. The purpose of internal controls was made clear to participants, i.e. to avoid any fraud, waste or abuse to ensure success in USAID programs implementation. Procurement and Office Administration procedures was presented, and the presenter shared fast fact sheets for procurement policies with partners.
- *Review of Accounting Policies and Procedures template:* The presenter reviewed accounting procedures, advance requesting and correct reconciliation, and correct advance-based financial reporting.
- *Review of Timesheet Template:* The presenter outlined the importance of accurate timekeeping and discussed timekeeping system with participants.
- *Presentation on Cost Share Reporting & Requirements:* The presenter outlined the types of cost share, discussed the criteria for identifying appropriate cost share per USAID requirements.
- *EC-LEDS Branding Strategy and Marking Plan:* The Compliance Manager introduced participants to the EC-LEDS Branding Strategy and Marking Plan.

The full agenda for the training is provided in Annex I.

2.4 TIMING AND LOGISTICS

The training on EC-LEDS Local Partners for Internal Controls Strengthening was held at the EC-LEDS office on December 26th, 2013. The training was delivered in Georgian and English with all training materials provided in English distributed among the participants. The training was free for all participants.

2.5 CONCLUSION

Participants were active during the training, asking questions and turning it into a lively discussion. All participants noted the importance of organizing similar events as such meetings contribute to their awareness on topics of interest. Participants were satisfied with all aspects of the training and confirmed that the information presented met their expectations.

3.1 PARTICIPANTS

Technical and administrative staff at all levels were invited to participate from Remissia and Green Building Council Georgia, including staff from Winrock who are involved in all aspects of partner capacity-building (e.g. accounting, compliance, technical reporting, branding and marketing, monitoring and evaluation, environmental monitoring, and project financing, and organizational development).

3.2 CONTENT

In preparation for the training, participants were asked to read a handout on best practices for leadership and people management, and complete five exercises: including a personal reflection, self-evaluation of leadership skills and roles, and motivation at work. The pre-training exercises and the full agenda for the training is provided in Annex II.

The trainer pointed out that the more staff who understand best practices for leadership and management, the more everyone benefits. When junior staff are aware of best practices for management and leadership, they are more empowered to address personnel issues that may arise. During the training staff participated actively in discussions and shared insights they had gained from the pre-training exercises.

Topics that elicited vigorous debate included:

- Does a person have to be *born* a leader? Or can leadership be learned?
- What is the meaning of “performance review”? Who is qualified to participate in the review of an individual’s performance on the job? Could a 360° review process work in Georgia?
- In what situations could meeting facilitation work in Georgia? Could an external facilitator be accepted by any group in Georgia? Is it a sign of weakness if a leader uses a meeting facilitator?

Participant evaluations may be found in Annex II.

3.3 PRESENTER

The presenter for this training was Winrock home office Program Officer Jennifer Holthaus. Ms. Holthaus has 15 years of experience working with governments, donor agencies, NGOs, communities and the private sector in designing, implementing and evaluating on-the-ground projects and grant-making initiatives in the areas of conservation, climate change and agriculture. Ms. Holthaus is a trained and experienced meeting facilitator, and received training in Leadership and Management from the University of California at Berkeley – Extension. Ms. Holthaus has designed and delivered Winrock trainings on leadership, people management, and meeting facilitation.

3.4 TIMING AND LOGISTICS

The training began at 9 AM on Thursday, April 3rd, at the Tori Hotel in Tbilisi, and ended at 1 PM.

3.5 ACTIONS RESULTING FROM TRAINING

Senior project staff from partner organizations Remissia and GBC-Georgia were asked to complete a Training Action Plan with actions they will take to apply lessons learned during the training.

Actions Remissia will take to apply lessons learned from this training within the Remissia team:

- Remissia will refine the staffing plan, which would enable a better distribution of responsibilities. Within this plan, each person will be assigned those activities that they are particularly strong in.
- Remissia staff members will be given more freedom to be leaders in the activities they perform.

Actions Green Building Council Georgia will take to apply lessons learned from this training:

- Apply the knowledge gained from the training when conducting the next update of the strategic and business plans.
- Conduct external and internal communication applying acquired knowledge. In everyday business management. This may cover, but not be limited to, working together, creating a shared purpose, connecting with others, being accountable, making things happen, shaping the future, etc.
- Developing and managing strategic partnerships and effective working relationships to meet the organizational development targets set by the World Green Building Council and grow the GBC Georgia organization and impact.
- Using the training outcomes, monitor management performance in being accountable for the Council's operation in Georgia, maintain corporate standards, including financial compliance and control, risk management, security, and business continuity.
- Develop/update corporate HR policies and practices, including managing staff performance, motivating the team to achieve objectives while maintaining a reasonable work-life balance.
- Ensure that all aspects of GBC Georgia's operation reflect the Green Building Council's global action network's values and adhere to its policies.

4.1 PARTICIPANTS

Though Branding and Marking was covered in the December training, a short workshop focused only on branding and marking was scheduled. The COP asked for a refresher workshop focused only on branding and marking because it appeared that there was not a clear understanding of when the branding guidelines apply in making outside presentations.

4.2 CONTENT

The presenters covered the EC-LEDS Branding Strategy and Marking Plan approved by USAID, followed by a discussion on the circumstances where the branding and marketing requirements are applicable. In particular, local partners were interested in when the requirements apply, and how they apply when partners are invited to speak at events sponsored by other organizations.

4.3 PRESENTER

The Compliance Manager and the Outreach and Communications Manager co-led a workshop.

4.4 TIMING AND LOGISTICS

The capacity-building workshop on Branding and Marking was held at the EC-LEDS office on May 20, 2014. The workshop was delivered in Georgian and English with all training materials provided in English distributed among the participants. The training was free for all participants.

4.5 CONCLUSION

Participants were active during the workshop, asking questions and turning it into a lively discussion. All participants noted the importance of organizing similar events as the need dictates. Participants were satisfied with all aspects of the workshop and confirmed that the information presented met their expectations.

5.1 PARTICIPANTS

As the cost share plan for year I was being validated and cost share information collected for reporting, it became clear that the partners needed a clearer understanding of cost share under USAID programs. This capacity-building was provided for Remissia, GBC Georgia and SDAP.

5.2 CONTENT

The Compliance Manager developed documents that included a description of cost share in general, as well as procedures for documenting and reporting (based on USAID requirements), including procedures and responsibilities for valuation and accounting, and methods for recording match. The Compliance Manager consolidated detailed information into short descriptions of the various kinds of costs share. She then mentored the partners in finalizing their year I cost share plans and developing documentation and reporting..

5.3 TIMING AND LOGISTICS

The capacity-building was conducted in April and May, 2014 after signing the partners' cost-reimbursable agreements.

5.4 CONCLUSION

A specific focus on cost share is required for partners because, though the cost share plans may be clear, the process for collecting and documenting the data is often not clear.

6.1 PARTICIPANTS

Informal capacity-building was provided on an ongoing basis, in particular for Remissia and Green Building Council of Georgia, on many issues related to managing USAID funded agreements.

6.2 CONTENT

Ongoing capacity building was provided on issues of financial reporting, time reporting, organizational development and staffing, recruiting practices, writing reports and Monitoring & Evaluation. This capacity-building was provided as follows:

- Financial Reporting (Remissia and GBC Georgia) – Compliance Manager
- Consultants charging time and documentation (Remissia)– Compliance Manager and COP
- Position Descriptions and Budgeting for Positions (GBC Georgia) – DCOP and Financial Manager
- Report-writing (Remissia and GBC Georgia) – COP
- Managing resources (financial and expertise) to accomplish objectives (GBC Georgia) – COP
- Organizational Development and staffing planning (GBC Georgia) Alliance to Save Energy GB expert
- Monitoring & Evaluation (Remissia and GBC Georgia) – M&E Manager and Component 1 and 2 Leads

6.3 CONCLUSION

Though a formal organizational capacity assessment has not yet been completed, there has been and continues to be opportunities to identify capacity-building needs informally, and to address them through on-the-job capacity-building.

ANNEX I INTERNAL CONTROLS STRENGTHENING TRAINING AGENDA AND PARTICIPANTS



Enhancing Capacity for Low Emission Development Strategies EC-LEDS Clean Energy Program

Training on EC-LEDS Local Partners for Internal Controls Strengthening

December 26, 2013

AGENDA

Time	Topics/Description
2:00 p.m.	Detailed review of the list of deliverables outlined in Fixed Obligation Subgrant document <ul style="list-style-type: none"> ✓ Discussions on the content of listed deliverables to make sure that all meet requirements under the Fixed Obligated Subgrant; ✓ questions and answers;
2:30 p.m.	Review of Operations Manual template <ul style="list-style-type: none"> ✓ Outlining the role of internal controls on every level despite of a company's size to avoid any fraud waste or abuse to ensure success in USAID programs implementation; ✓ Review of Procurement and Office Administration procedures; developing a fast fact sheets for procurement policies;
3:30 p.m.	Review of Accounting Policies and Procedures template <ul style="list-style-type: none"> ✓ Detailed review of accounting procedures, templates for accounting operations will be reviewed; ✓ Advance requesting and correct reconciliation; ✓ Correct advance based financial reporting;
4:30 p.m.p.	Review of Timesheet Template <ul style="list-style-type: none"> ✓ Discussion on timekeeping system set up; ✓ Outline an importance of accurate timekeeping;
5:00 p.m.	PP Presentation on Cost Share Reporting & Requirements <ul style="list-style-type: none"> ✓ types of Cost Share; ✓ Better understanding how to define criteria for Cost Share and meet USAID requirements; ✓ Correct tracking and reporting on Cost Share;
5:30 p.m.	Introduction of EC-LEDS Program Marking Strategy and Branding Plan

LIST OF PARTICIPANTS



Enhancing Capacity for Low Emission Development Strategies
EC-LEDS Clean Energy Program

EC-LEDS Training on local NGOs Internal Control Strengthening

December 26, 2013

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ANNEX II LEADERSHIP AND PEOPLE MANAGEMENT SKILLS TRAINING AGENDA



Leadership and People Management Skills Training Winrock International Thursday April 3, 2014

Goals of Training:

1. Provide a basic, introductory training on best practices for leadership and people management.
2. Provide training on effective meeting facilitation.
3. Give staff tools for self-awareness, and for continuing to improve leadership and people management skills.

9 AM **Introductions**

9:20 AM **Best Practices for Leadership**

Topics:

- What is leadership vs management?
- Effective leadership practices
 - **Exercise 1:** Share experiences with great leadership
- Managing self and relationships
 - **Exercise 2:** Share insights from Myers-Briggs personality profile
- Things we know about leadership and management work
 - **Exercise 3:** Leadership roles of staff at all levels
- How leaders earn trust and respect
- Leader decision-making options

Q&A

Closing exercise: Split into pairs and discuss “Personal Learning Plan” for leadership

10:50 **10-MINUTE BREAK**

11:00 AM **Best Practices for People Management**

Topics:

- Job responsibilities of a supervisor
- Understanding what motivates employees
 - **Exercise 4:** McClelland’s motivation assessment
 - **Exercise 5:** Encouragement Index
- Identifying and communicating expectations for employees
 - **Handout:** Communicating expectations
 - **Handout:** Holthaus expectations for direct reports
- Supervisor self-critique tool
 - **Handout:** Expectations of a supervisor

Q&A

Closing exercise: Split into pairs and share “One helpful thing I learned about people management from this training was...”



Leadership and People Management Skills Training
Winrock International
Thursday April 3, 2014

12:00 PM 10-MINUTE BREAK

12:10 PM Meeting Facilitation Skills

Topics:

- Responsibilities of a meeting facilitator
 - **Role play:** handling disruptive behaviors in meetings
 - **Role play:** directing verbal traffic flow
- Critique meeting agendas
 - **Handout:** Sample meeting agendas

Q&A

Closing exercise: List three situations where you could possibly serve as a facilitator in the next 3 months. What skills do you need to learn or improve on to be an effective facilitator in these situations?

1:30 PM Evaluation forms; individual action plans

1:45 PM Quiz Trade Game – participants quiz each other on learnings from all the training sessions

2:00 PM LUNCH

PARTICIPANT EVALUATIONS

20 of 21 participants completed a training evaluation form. Staff were asked to rate each session on a scale of 1 to 5, where 1 = not useful, 3 = useful, and 5 = extremely useful. Scores were as follows:

Session	Participant Ratings																				TOTAL
Leadership	3	5	3	1	3	4	5	4	3	5	3	3	4	5	3	4	4	1	4	5	3.6
People Management	3	3	2	1	3	4	5	3	4	5	3	3	4	5	4	3	4	1	4	5	3.45
Meeting Facilitation	1	1	1	1	5	5	5	5	3	4	2	2	4	2	2	4	4	2	3	4	3

Positive comments from the evaluation forms include (each of these is from a different person):

- It made me think about how to treat my co-workers. Also I was assured that leadership is as important as technical work.... This training proved to me that I have to staff to cover my weaknesses.
- All the information was very interesting. Now I know the difference between a manager, a leader and technical staff.
- Self-evaluation exercise helped me to think about my personal abilities, weak and strong points. I will definitely put this into practice in my life.
- I found out that leadership skills may be learned.
- I loved the list of expectations from boss to make his/her approach crystal clear.
- After training I realized that any person (not leader or manager) has elements of leader and manager, which could be strengthened.... I have better vision of my future success. At this time I'm not a leader, but I think after some training I could become a good manager.
- It's a good training for everyone to understand their management and for management to understand people better.